

## University of Groningen

### The social impacts of large projects on Indigenous Peoples

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# APPENDIXES

## **APPENDIX 1 - INDICATIVE INTERVIEW SCHEDULE FROM THE FIELDWORK CONDUCTED IN 2012 (BOA VISTA, BRASÍLIA AND SÃO PAULO)**

**Note:** The interviews conducted were semi-structured. Therefore, this schedule was adapted to each collaborator who was being interviewed and not all questions were applied at each interview.

### **FPIC**

Do you know what is FPIC?  
What is your opinion about it?  
Should it be adopted?  
Is it related/How do you use it in your work?  
Could you tell me some examples?  
Do you consider it feasible?  
Do you consider that it is implemented in Brazil? / Which do think are the obstacles for implementation?  
Do you think FPIC should be restricted to traditional peoples or should it be applied to every community?

### **IBAs**

Did you ever heard about IBAs? What is it?  
Is it feasible in Brazil?  
Can you tell me about experiences of IBAs?  
What happened?  
Is there corruption?  
What should be the role of the state in IBAs in Brazil?  
Do you consider that are any particularities in relation to Indigenous peoples?  
Do you think that IBAs can be good for Indigenous peoples?  
How do you assess it? Are there any harmful cases?  
How can the rights of Indigenous Peoples be protected at an IBA? (given the power unbalance)  
**(For companies)** Do you have any ongoing IBA?  
**(For MPF/FUNAI)** – Is there a national registry of IBAs? Is there any national body to check IBAs? (who is taking care of it?)

How can IBAs be improved? (recommendations)

### **Business and Indigenous Peoples**

How does the engagement between Indigenous Peoples and Companies occur in Brazil?  
Do you consider that it is working?  
What is the role of the government in it?

### **Human Rights**

Are the human rights of indigenous peoples respected in Brazil?  
If not, which are being violated?  
Do you consider that FPIC is a pre-requisite for respecting Human Rights?  
Do you know John Ruggie's principles? Do they help/ is it relevant?

### **Wellbeing of Indigenous Peoples**

What needs to be done to improve the wellbeing of Indigenous Peoples, in a general way?

### **Questions for companies**

How does your company manage the relations with Indigenous Peoples/Traditional Communities?  
Do you have a specific team for it?  
Do you have a specific policy for it?

## **APPENDIX 2 – CODES USED TO ANALYZE THE FIELDWORK DATA COLLECTED IN 2014 IN BRASÍLIA (CHAPTER 5) AND PALMAS (CHAPTER 7)**

### **Codes used for analyzing the data collected for Chapter 5**

- action point
- alliances
- analysis
- belo monte
- conflict
- claims
- disclosure
- dynamics
- environmental licensing
- food
- government
- impacts
- infowars
- interethnic
- media
- money
- negotiation
- NGOs
- performance
- rights
- social media
- spiritual
- tactics
- TV
- violence

### **Codes used for analyzing the data collected for Chapter 7**

- board
- bureaucracy
- crops
- culture
- decision making
- evaluation
- fish
- food changes
- FUNAI
- IBA
- implementation
- negotiation
- politics
- positive impacts
- project management
- projects
- social change
- social impacts
- splitting

## APPENDIX 3 - INFORMED CONSENT FORM FOR INTERVIEWS

The forms below were provided to participants whose interviews were recorded. Only the Portuguese version was used during fieldwork. The research was approved by the Ethics committee of the Faculty of Spatial Sciences, University of Groningen.



university of  
 groningen

faculty of spatial sciences

Department of Cultural Geography

**Project Title: Impacts and Benefits Agreements and Social Impact Assessment: An Ethnographic Case Study in Brazil**

**Contact Researcher:** Philippe Hanna

PhD Researcher, Department of Cultural Geography, Faculty of Spatial Sciences, University of Groningen

Email: [p.hanna@rug.nl](mailto:p.hanna@rug.nl)

**Description:** The purpose of this study is to comprehend how the relations between companies and Indigenous peoples are occurring in the Brazilian context. During this study, you will be asked to answer some questions about this topic. This interview was designed to be approximately one hour in length. However, please feel free to expand on the topic or talk about related ideas. Also, if there are any questions you feel you cannot answer or that you do not feel comfortable answering, feel free to indicate this and we will move on to the next question.

All the information will be kept in such a way that you can't be identified. We will keep the data in a secure place. Only the researcher and faculty supervisors will have access to this information. Following completion of the project, the data will be destroyed.

If you have any comments or complaints about this research, you may contact my supervisor, Prof Frank Vanclay on [frank.vanclay@rug.nl](mailto:frank.vanclay@rug.nl)

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### Participant's Agreement:

I am aware that my participation in this study is voluntary. If, for any reason, at any time, I wish to stop the interview, I may do so without having to give an explanation. I understand the intent and purpose of this research, and the risks involved in my participation.

I am aware that the data will be used to prepare papers for publication in academic journals and for inclusion in a doctoral thesis. I understand that my personal identity will not be revealed, unless I specifically approve of such disclosure. I grant permission for the use of this information for the research purpose.

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Participant's name

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Participant's signature

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Interviewer's signature

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Date



## Consentimento Livre e Esclarecido para Entrevistas

**Título do Projeto: Acordos de Impactos e Benefícios (IBAs) e Avaliação de Impacto Social: Um estudo de caso etnográfico no Brasil**

**Pesquisador para contato:** Philippe Hanna

Pesquisador PhD, Departamento de Geografia Cultural, Faculdade de Ciências Espaciais, Universidade de Groningen

Email: [p.hanna@rug.nl](mailto:p.hanna@rug.nl)

**Descrição:** O objetivo deste estudo é compreender como as relações entre empresas e povos indígenas estão ocorrendo no contexto brasileiro. Durante este estudo, você será solicitado a responder a algumas perguntas sobre este tema. Esta entrevista foi planejada para aproximadamente uma hora de duração. No entanto, por favor, sinta-se livre para expandir sobre o tema ou falar sobre idéias relacionadas. Além disso, se houver qualquer dúvida, ou alguma questão sobre a qual você não sinta confortável em responder, sinta-se livre para indicar isso e passaremos para a próxima pergunta.

Toda a informação será mantida de tal forma que os entrevistados não podem ser identificados e os dados serão mantidos em lugar seguro. Além do pesquisador, apenas seus supervisores de pesquisa terão acesso a esta informação. Após a conclusão do projeto, os dados serão destruídos.

Se você tem algum comentário ou queixa sobre esta pesquisa, você pode contatar o meu supervisor, Prof. Frank Vanclay em [frank.vanclay@rug.nl](mailto:frank.vanclay@rug.nl)

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### Consentimento do Participante:

Estou ciente de que minha participação neste estudo é voluntária. Se, por qualquer motivo, a qualquer momento, eu quiser interromper a entrevista, posso fazê-lo sem ter que dar uma explicação. Eu entendo a intenção e o objetivo da pesquisa, e os riscos envolvidos na minha participação.

Estou ciente de que os dados serão utilizados para preparar artigos para publicação em revistas acadêmicas e inclusão em uma tese de doutorado. Eu entendo que minha identidade pessoal não será revelada, a menos que especificamente aprovada tal divulgação. Dou permissão para o uso dessas informações para fins de pesquisa.

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Nome do participante

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Assinatura do participante

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Assinatura do entrevistador

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Data

## APPENDIX 4 – LIST OF INTERVIEWS CONDUCTED

### Formal recorded interview

Stakeholder	Place	Date
Multinational mining company staff (2 people from the CSR Department)	São Paulo	16/10/2012
Lawyer from a Brazilian NGO focused on environmental issues and Indigenous issues	Boa vista	22/10/2012
Lawyer from a Brazilian NGO focused on Indigenous issues	São Paulo	25/10/2012
Manager from an international NGO focused on environmental issues and Indigenous peoples	Brasília	20/11/2012
2 Staff from the Brazilian National Agency for Indigenous Affairs (FUNAI)	Brasília	20/11/2012
Staff from the Secretary for Social Coordination from the Presidency of the Republic, responsible for an inter-ministerial working group for incorporating FPIC in Brazilian law (Government Agency)	Brasília	21/11/2012
Indigenous leader, president of the Brazilian association of Indigenous NGOs	Brasília	22/11/2012
Public Prosecutor from the Federal Public Prosecution (MPF), specialist on the relations between Traditional peoples and companies	Brasília	22/11/2012
Public Prosecutor from the Public Prosecution of the state of Tocantins (MPF-TO), responsible for mediating the relation between Indigenous peoples and companies	Palmas	07/05/2014
2 Xerente leaders of an Indigenous association	Tocantínia	08/05/2014
Coordinator from a catholic NGO which supports the Xerente people	Palmas	13/05/2014
Former staff from the environmental licensing agency of the state of Tocantins (Naturantis), who was responsible for representing the agency during the implementation of PROCAMBIX	Palmas	14/05/2014

#### Informal interviews which could not be recorded

Stakeholder	Place	Date
Anthropologist consultant for several companies for their relations with Indigenous and Traditional peoples	Brasília	21/11/2012
Young Xerente	Tocantínia	08/05/2012
Xerente elder, who participated in PROCAMBIX implementation	Tocantínia	08/05/2012
Xerente Cacique (Chief)	Tocantínia	08/05/2012
Anthropology professor from the Federal University of Tocantins, experienced with environmental licensing processes	Palmas	10/05/2014
Rural producer from the state of Tocantins	Tocantins	11/05/2014
Indigenous leaders and FUNAI staff who participated in the implementation of PROCAMBIX	Palmas	12/05/2014
Anthropologist from the Federal University of Tocantins, specialist about the Xerente people	Miracema do Tocantins	12/05/2014
Staff from the environmental licensing agency of the state of Tocantins (Naturantis)	Palmas	14/05/2014
2 coordinators of a catholic NGO focused on Indigenous peoples issues	Brasília	28/05/2014

#### Events attended

Name and description	Place	Date
NGO workshop for Indigenous peoples to learn about their right to FPIC	Boa Vista	20/10/2012 to 22/10/2012
Tii Flor Conference (Tecnologia, inovação e inclusão em Florestas), where an Indigenous leader was presenting	Brasília	22/11/2012
Launch of the book “Making Free Prior & Informed Consent a Reality: Indigenous Peoples and the Extractive Sector”, where the UN special representative for the rights of Indigenous peoples was presenting	Middlesex, UK	02/04/2013
Meeting with the Xerente elders and Indigenous school teachers, for whom I presented my research	Tocantínia	13/05/2012
Agrotins. A farming convention in the state of Tocantins where an anti-indigenous congress woman was making a speech	Palmas	09/05/2014
Brazilian Indigenous National Mobilization	Brasília	26/05/2014 to 29/05/2014